

# Quality Procedure (QP) Interim Change Notice (ICN)

Effective Date: **5/20/04**

1 Page(s)

## Section 1: Description of Change (Requester completes)

1. Document Catalog No.: **ER2004-0138**

2. QP & Rev. No.: **QP-4.4, R2**

3. ICN No.: **1**

4. QP Title: **Record Transmittal to the RPF**

### 5. Description of Change:

Remove all references to transmitting electronic files to the Records Processing Facility (RPF). The RPF no longer requires electronic-file submittal with internal-record submittals.

6. Attachments Modified, Added, or Removed:  Yes  No

### 7. ICN Justification:

Document current process.

8. Requester: E. Jeanne Hamilton [\[Signature on File\]](#)  
(Print name, then sign.)

05/10/2004  
(Date)

## Section 2: Evaluation and Approval (PTL, Technical Reviewer, and QPPL complete)

9. Evaluation Remarks: (If none, enter N/A)  
N/A

10. Project Team Leader: Phillip Noll [\[Signature on File\]](#)  
(Print name, then sign.)

05/19/2004  
(Date)

11. Technical Reviewer: Sandra Valdez [\[Signature on File\]](#)  
(Print name, then sign.)

05/18/2004  
(Date)

12. QPPL: Phillip Noll [\[Signature on File\]](#)  
(Print name, then sign.)

05/19/2004  
(Date)

**QP-4.1, R5**

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[Using a token card, click here to record "self-study" training to this procedure.](#)

If you do not possess a token card or encounter problems, contact the RRES-ECR training specialist.

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Revision: **2**

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**Remediation Program**

## **Risk Reduction and Environmental Stewardship— Remediation Program**

### **Quality Procedure**

# **for Records Transmittal to the Records Processing Facility**



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## Revision Log

Revision No.	Effective Date	Prepared By	Description of Changes	Affected Pages
0	01/03/00	Yvonne Archuleta	New	All
1	07/20/00	Yvonne Archuleta	Incorporates improved processes.	All
2	04/10/03	Yvonne Archuleta	Incorporates ICNs and improved processes, e.g., identifying in detail the format for electronic files sent to the RPF which are not in MSWord format, documenting the "new" web address for the RPFInbox, etc.	See margin lines.

# Record Transmittal to the Records Processing Facility

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## List of Acronyms and Abbreviations

AR	administrative record
ER ID#	environmental restoration identification document number
LANL	Los Alamos National Laboratory
LIR	laboratory implementation requirement
QP	quality procedure
QPPL	Quality Program Project Leader
RPF	Records Processing Facility
RRES-R	Risk Reduction and Environmental Stewardship Division—Remediation Program

# Record Transmittal to the Records Processing Facility

## 1.0 PURPOSE

This quality procedure (QP) states the responsibilities and describes the processes for transmitting records to the Records Processing Facility (RPF) for the Los Alamos National Laboratory (LANL), Risk Reduction and Environmental Stewardship—Remediation (RRES-R) Program.

## 2.0 SCOPE

- 2.1 All **RRES-R personnel** shall implement this mandatory QP when transmitting RRES-R records to the RPF.
- 2.2 **Subcontractors** shall implement this mandatory QP when transmitting RRES-R records to the RPF.

OR

- 2.3 **Subcontractors** may use the subcontractor's procedure for transmitting records to the RPF, as long as the substitute meets the requirements prescribed by the RRES-R Program Quality Management Plan, and the RRES-R Quality Program Project Leader (QPPL) approves the procedure before the subcontractor begins the designated activity.

## 3.0 TRAINING

- 3.1 **RRES-R personnel** shall train to (i.e., read-only training) and use the current version of this QP; contact the author of this QP if the text is unclear.
- 3.2 **RRES-R personnel** using this QP shall document training in accordance with QP-2.2 in the RRES-R training database located at <http://erinternal.lanl.gov/Training/login.asp>.
- 3.3 The responsible **supervisor** shall monitor the proper implementation of this procedure and ensure that the appropriate personnel complete all applicable training assignments.

## 4.0 DEFINITIONS

- 4.1 *Administrative record (AR)*—The complete body of Environmental Restoration documentation that forms the basis for selecting a response action at a site in the RRES-R cleanup effort. The maintenance and compilation of the AR is required in 40 CFR 300.800, Subpart I.

- 4.2 *ER ID#*—An unique, sequential ER identification number assigned to RRES-R records by the Record Processing Facility (RPF).
- 4.3 *Quality procedure (QP)*—Within the RRES-R Program, a document that describes the process for performing any activity governed by the RRES-R Quality Management Plan.
- 4.4 *RRES-R program document catalog number*—The unique document identifier, automatically assigned to an on-line, newly initiated, RRES-R Program Document Signature Form.
- 4.5 *RRES-R program document signature form*—The form required for the transmittal of RRES-R Program records generated by QP-4.9, Document Development and Transmittal Process: Peer Review Required, and QP-4.10, Document Development and Transmittal Process: Peer Review Not Required.
- 4.6 *RRES-R program records package transmittal form*—A standard form used to transmit record packages to the RPF.
- 4.7 *Individual record*—Any record that is complete unto itself, with all applicable attachments.
- 4.8 *Machine-readable records*—Records that are contained on various media (e.g., videotape, diskette, CD, etc.) that require a computer or other machine for reading.

Guidance Note: As applicable, label machine-readable records, identifying the content, date of document, application, and version.

- 4.9 *Privileged record*—A record to which access is controlled due to statutory, legal, or security requirements. Examples include, but are not limited to, any item, collection, or grouping of information about an individual including, but not limited to, his or her education, training, financial transactions, medical history, and criminal or employment history and that contains his or her name, or the identifying number, symbol, or other identifying particular assigned to the individual, such as an interview or photograph.
- 4.10 *Reconciliation report*—A complete listing of a specific records package, used to inform the author/originator of what is available in the records-management database related to the package.
- 4.11 *Record*— By law, 44 U.S.C. 3301, “records” include all books, papers, maps, photographs, machine readable materials, or other documentary materials of informative value, regardless of physical form or characteristics, that the RRES-R Program receives or creates as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities.

*Guidance Note:* At LANL, records include information, regardless of media type, including electronic, created or received in connection with the transaction of LANL programs and operations. Some examples include, but are not limited to, official correspondence and memoranda (including email), LANL notebooks, publications, project plans and reports, technical reports, maps, drawings, graphics, calculations, as-built specifications, photographs, film and video, microfilm, sound recordings, machine readable materials, completed LANL forms, and stack emission filter raw data (LIR 308-00-02.0).

- 4.12 *Records package*—A collection of records that support one topic (e.g., field records, audit files, specific project, etc.) developed to ensure the reconstruction of records for a given activity.
- 4.13 *Records package #*—A unique, sequential identifier assigned by RPF staff to a records package for grouping of related transmittals.

## 5.0 RESPONSIBLE PERSONNEL

The following personnel are responsible for activities identified in this procedure:

- Quality Program Project Leader
- RRES-R Personnel
- Record Transmitter
- Supervisor
- User

## 6.0 PROCEDURE

Reference Attachment A, Record Transmittal to the Records Processing Facility Process Flow Chart, for a pictorial representation of this procedure.

### 6.1 Record Requirements

6.1.1 The **record transmitter** shall ensure that a record is

- legible;
- authenticated;
- contains all applicable attachments;
- traceable to associated items and activities, if documenting work; and
- accurately reflects the work accomplished or information required.

6.1.2 The **record transmitter** shall identify each record generated by document development and approval procedures, QP-4.9 and QP-4.10, and by logbook development procedure, QP-5.7, with an RRES-R Document Catalog Number acquired from <http://erinternal.lanl.gov/DocCatalog/home.asp>.

## 6.2 Privileged Record(s)

6.2.1 The **record transmitter** shall determine if the record is a *privileged* record (e.g., training record, resume, etc.; see section 4.8).

6.2.2 If the record is a *privileged* record, the **record transmitter** shall place the record(s) in a sealed envelope marked "Privileged Information" before transmittal.

## 6.3 Record Transmittal Categories

6.3.1 The **record transmitter** shall determine whether the record(s) is a *records package* or an *individual record* (see sections 4.5 and 4.6).

6.3.2 If the record is a *records package*, the **record transmitter** shall fill out an RRES-R Records Package Transmittal Form (Attachment B), following the completion instructions; use the Continuation Form, if necessary.

6.3.3 The **record transmitter** may request a copy of the reconciliation report with the assigned ER ID #(s).

**Note:** If the record transmitter does not request a reconciliation report, the RPF only sends a copy of the transmittal form with the associated ER ID #(s).

## 6.4 Record Transmittal

As applicable, the **record transmitter** shall perform the following:

6.4.1 At the time of record submission to the RPF, transmit, according to Attachment C, an electronic-file copy of records generated by the document development and approval procedures, QP-4.9 and QP-4.10.

**Note:** An electronic copy is not necessary if the file is a *privileged* record (see Section 4.8), a handwritten nonconformance report with transmittal responses, an e-mail, field notebooks, handwritten meeting notes, handwritten record of telephone communication, or records produced externally (e.g., records that did not originate from the RRES-R Program) to the RRES-R Program.

**Note:** If electronic files are not in Microsoft Office standard format, submit all files in “native” format (see table below) except FrameMaker files; convert FrameMaker files to unsecured, portable document format (.pdf) files.

**Table 6.4-1  
“Native” Format Examples**

<b>Extension</b>	<b>Software/File Type</b>
.ai	Adobe Illustrator
.drw	Claris Draw
.eps	Encapsulated PostScript
.gif	graphics interchange format
.jpeg; .jpg	joint photographic expert group
.pdf	portable document fo rmat
pgm; .p65	PageMaker, PageMaker 6.5
.pict; .pct; .pic	PICT image format
.ps	PostScript
.psd	PhotoShop
.rtf	rich text format
.tiff; .tif	tagged information file format
.xwd	AutoCad exchange file format

6.4.2 The **record transmitter** shall transmit all records to the RPF by hand carrying (i.e., the preferred method) or using internal distribution (RPF, MS M707), ensuring the attachment of all Transmittal and Document Signature Forms, as required.

**Note:** As an aid in the RPF record-retrieval process, reference Attachment D, RRES-R Record Retrieval Process Flow Chart.

## **7.0 LESSONS LEARNED**

7.1 Before performing work described in this QP, **RRES-R personnel** should go to the Department of Energy Lessons Learned Information Services home page, located at <http://www.tis.eh.doe.gov/II/II.html>, and/or the LANL Lessons Learned Resources web page, located at [http://www.lanl.gov/projects/lessons\\_learned/](http://www.lanl.gov/projects/lessons_learned/), and search for applicable lessons.

- 7.2 During work performance and/or after the completion of work activities, **RRES-R Personnel**, as appropriate, shall identify, document, and submit lessons learned in accordance with the LANL, Lessons Learned System located at [http://www.lanl.gov/projects/lessons\\_learned/](http://www.lanl.gov/projects/lessons_learned/).

## 8.0 RECORDS

The **record transmitter** shall submit the following records to the Records Processing Facility, in accordance with QP-4.4:

- 8.1 All RRES-R-related records (Ensure to print out and transmit a hardcopy of all electronic mail (i.e., e-mail), generated or received, that provides documentation of policies, decisions, operations, and/or procedures [see section 4.10 above].)
- 8.2 RRES-R Program Document Signature Form (when applicable)
- 8.3 RRES-R Records Package Transmittal Form (when applicable)

## 9.0 REFERENCES

To properly implement this QP, **RRES-R personnel** should become familiar with the contents of the following documents, located at [http://erinternal.lanl.gov/home\\_links/Library\\_proc.shtml](http://erinternal.lanl.gov/home_links/Library_proc.shtml):

- RRES-R Program Quality Management Plan
- QP-2.2, Personnel Orientation and Training
- QP-3.2, Lessons Learned
- QP-4.4, Record Transmittal to the Records Processing Facility
- QP-4.9, Document Development and Approval Process: Peer Review Required
- QP-4.10, Document Development and Approval Process: Peer Review Not Required
- QP-5.7, Notebook Documentation for Environmental Restoration Technical Activities
- 40 CFR 300.800, Subpart I, Administrative Record for Selection of Response Action
- 44 U. S. C., PUBLIC PRINTING AND DOCUMENTS, 3301, Definition of Records
- LIR 308-00-02, Laboratory Records Management

## 10.0 ATTACHMENTS

The **user** of this QP may locate all forms associated with this procedure at <http://erinternal.lanl.gov/Quality/user/forms.asp>.

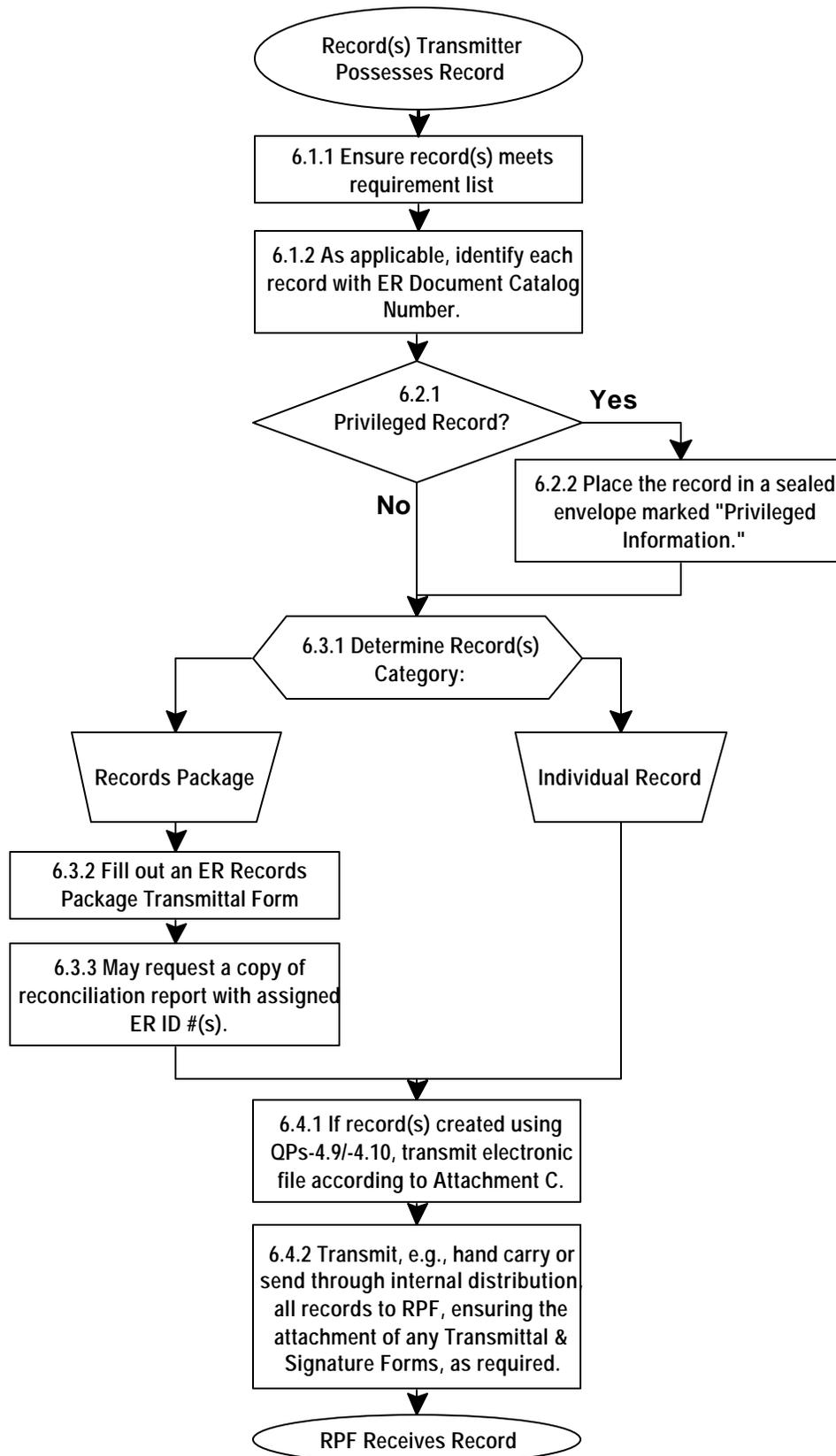
Attachment A: Record Transmittal to the RPF Process Flow Chart, 1 page

Attachment B: RRES-R Records Package Transmittal Form, 1 page;  
RRES-R Records Package Transmittal Continuation Form, 1  
page;  
RRES-R Records Package Transmittal and Continuation Form  
Instructions, 2 pages

Attachment C: RRES-R Record Electronic File Capture Process Flow Chart, 1  
page

Attachment D: RRES-R Record Retrieval Process Flow Chart (1 page)

## Attachment A: Records Transmittal to the RPF Process Flow Chart



## Attachment B: RRES-R Records Package Transmittal Form

**Section I — Records Transmitter Information:** (Completed by Records Transmitter.)

Name: \_\_\_\_\_ Package transmittal date: \_\_\_\_\_ TA: \_\_\_\_\_  
 Organization: \_\_\_\_\_ Electronic file(s) transmitted?  Yes  NA OU: \_\_\_\_\_  
 Z number: \_\_\_\_\_ Phone: \_\_\_\_\_ Privileged record?  Yes  No Project: \_\_\_\_\_

This record package transmittal (check one)  
 is an addition to a previous package. (Include number: \_\_\_\_\_) PRS(s): \_\_\_\_\_  
 Is a reconciliation report requested  Yes  No

is a new package. Records package number: \_\_\_\_\_  
(RPF use only)

Records package title: \_\_\_\_\_

### Record Package Transmittal Contents

File Folder Name	Record Title or Subject (Limited to 255 characters)	Doc. Date	Author/Originator	Page Count	ER ID #

**Section II** (Completed by RPF per \_\_\_\_\_)

Name: \_\_\_\_\_ (Print Name) \_\_\_\_\_ (Date)

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## Attachment B: RRES-R Records Package Transmittal Continuation Form

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**Section I** (Completed by record transmitter.)

Enter the previous record package number, \_\_\_\_\_, or the new records package title: \_\_\_\_\_

### Record Package Table of Contents

File Folder Name	Record Title or Subject (Limited to 255 characters.)	Doc. Date	Auth. Originator	Page Count	ER ID # (RPF Use Only)

Example

This form is available online via a link from the form title in Section 10.0.

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## Attachment B: RRES-R Record Package Transmittal and Continuation Form Completion Instructions

Use an indelible, dark-ink pen. Make an entry in each blank. To change an entry, draw a single line through it, add the correct information above it, and date and initial the change. For all forms, complete the following information:

### Record Transmitter Information:

1. Name — Enter your name.
2. Organization — Enter the name of your organization.
3. Z number — Enter your Z number.
4. Phone number — Enter your telephone number.
5. Package transmittal date — Enter the date on which you sent this record package to the RPF, in the following format: MM-DD-YY.
6. Electronic file(s) transmitted? — Was an electronic copy of the records in this records package submitted to the RPF? Check either “Y” for yes or “NA” for *not available*.
7. Privileged record? — Does the records package contain privileged information? Check either “Y” for yes or “N” for *no*.
8. TA — Enter any technical areas to which this records package applies.
9. OU — Enter any operable units to which this records package applies.
10. Project — Enter any project to which this records package applies.
11. PRS(s) — Enter all potential release sites to which this records package applies.

### Package Status Information:

1. Is a reconciliation report requested? — At transmitter’s request, a complete listing of a records package transmittal is electronically recompiled and printed out for author’s/originator’s review. Check either “Yes” or “No” to indicate whether a reconciliation report is requested.
2. Is this transmittal part of a previously transmitted records package, with an established package number? — Check the “addition to a previous package” box and enter the number of the records package to which this transmittal should be added. Continue on to the next section.
3. Is this transmittal a new records package? — Check the “new package” box.
4. Records package title — Enter the general subject that describes the records package and will distinguish it from other similarly titled records packages (e.g., Audit of Field Sampling Events at TA-XX on 12-Jul-99).

### Record Package Table of Contents:

RRES-R Document Catalog Number — Enter the RRES-R Document Catalog Number (e.g., ER19990048) that is associated with this record, if applicable.

1. File Folder Name — Enter the name of the folder that contains a sub-title heading according to a logical grouping of related records within a records package (if applicable).
2. Record Title or Subject.— Enter the title of the record or give a detailed description of the topic addressed by the record—the database system limits this field to 255 characters (if space permits, include the titles of any attachments).
3. Doc Date — Enter the date on which the record was created, in the following format: MM-DD-YY.
4. Page Count — Enter the number of pages in the record (i.e., paper count).
5. Author/Originator — Enter the name of the author/originator of this record.
6. Symbol — If applicable, enter the symbol designator for this record (e.g., RRES:98-63, drawing number, chain-of-custody number, report/LA-UR number, form number, etc).

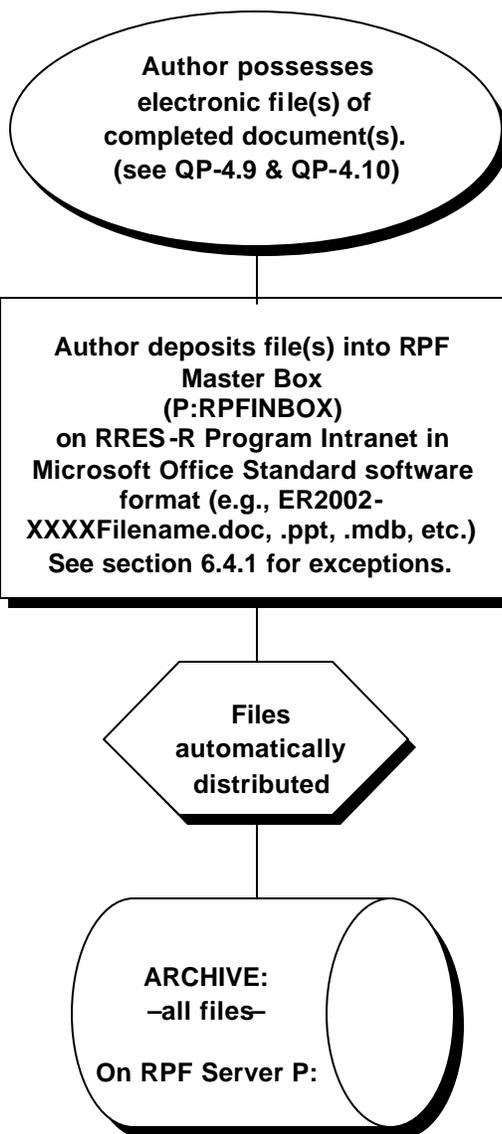
### Section II Information (RPF personnel only):

1. ER ID # — The records package coordinator enters the ER ID # assigned to this record.
2. Name — The records package coordinator who processed this record enters her or his name.
3. Signature — The records package coordinator who processed this record signs her or his name.
4. Date — The records package coordinator enters the date on which this record was processed, in the following format: MM-DD-YY.

### Continuation Form Completion:

1. Previous records package number — If this is continuation to an addition to a previous records package, enter that records package number
3. New records package title — If this is continuation to a new records package, enter the title of the records package from the first page of the transmittal form.
4. Fill out the continuation-page record package table of contents entries according to the instructions provided above.

## Attachment C: RRES-R Record, Electronic-File Capture Process Flow Chart

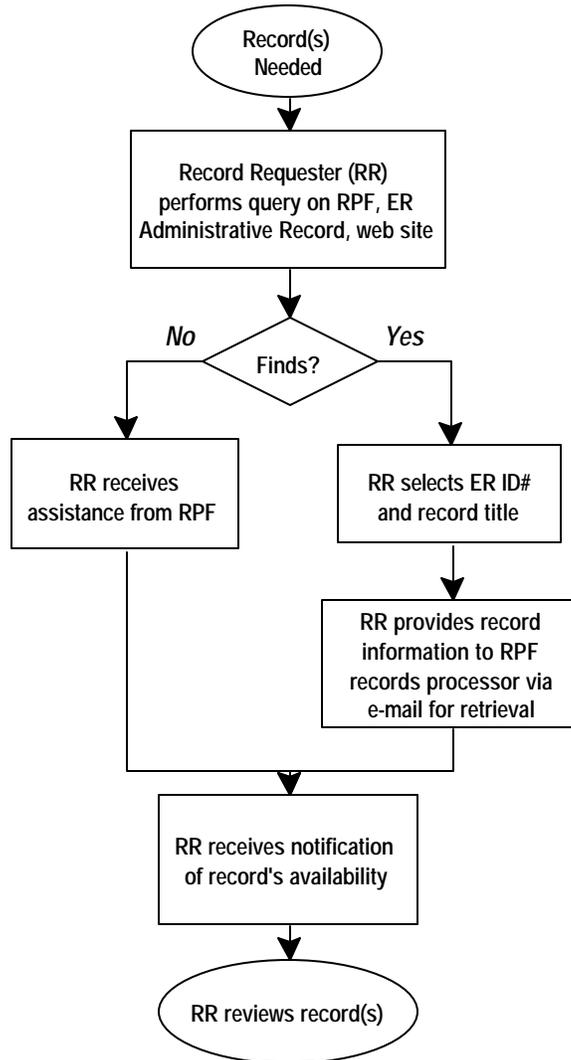


**Note:** Submit all files in MS Office format except FrameMaker and related files (see Table 6.4-1); convert FrameMaker files to unsecured, portable document format (.pdf) files.

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## Attachment D: RRES-R Record Retrieval Process Flow Chart



**Note:** The RPF web site does not represent accurately all RRES-R records in the RPF.